

09-11-06

Docket No. 9955/D01/Y01/AGS/LP

IFW 1764

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Inventor(s): Mark Holst, Kent Carpenter, Scott Lane and Prakash V. Arya  
Title: EFFLUENT GAS STREAM TREATMENT SYSTEM HAVING UTILITY FOR OXIDATION  
TREATMENT OF SEMICONDUCTOR MANUFACTURING EFFLUENT GASES  
Serial No.: 09/970,613  
Filed: October 4, 2001  
Examiner: Thanh P. Duong  
Group Art Unit: 1764

Transmitted herewith is:

- PTO Form 1449;  
 Information Disclosure Statement with two cited references; and  
 Return Postcard.

| FEE CALCULATION  |              |                         |              |            |           |
|--|--------------|-------------------------|--------------|------------|-----------|
| Fee Items  | Claims Filed | Included With Basic Fee | Extra Claims | Fee Rate   | Total     |
| Total Claims   | N/A          | - 20 =                  | -0-          | X \$50.00  | \$0.00    |
| Independent Claims   | N/A          | - 3 =                   | -0-          | X \$200.00 | \$0.00    |
| Basic Filing Fee (\$300.00), Utility Search Fee (\$500.00), Utility Examination Fee (\$200.00) |              |                         |              |            | \$1000.00 |
| <b>TOTAL FEES</b>  |              |                         |              |            | \$0.00    |

— The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

Please address all future correspondence to:

Customer # 41161  
Dugan & Dugan, PC  
55 South Broadway  
Tarrytown, NY 10591

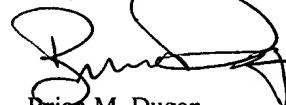
I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Receipt No. EV605116545US

Date of Deposit: 9/8/06

Signature: 

Respectfully submitted,

  
Brian M. Dugan  
Registration No. 41,720  
(914) 332-9081

4



Express Mail Label No. EV605116545US

PATENTS  
9955/D01/Y01/AGS/LP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Mark Holst et al.

Serial No. : 09/970,613

Filed : October 4, 2001

For : EFFLUENT GAS STREAM TREATMENT SYSTEM HAVING  
UTILITY FOR OXIDATION TREATMENT OF  
SEMICONDUCTOR MANUFACTURING EFFLUENT GASES

Group Art Unit : 1764

Customer No. : 41161

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

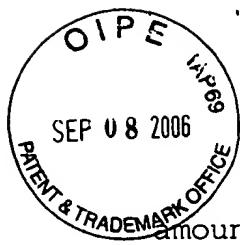
In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following references:

Foreign Art Reference No. WO 98/29181 A (WIPO)

Foreign Art Reference No. EP 0360941 A2 (EPO)

09/12/2006 HVUONG1 00000018 041696 09970613

01 FC:1806 180.00 DA

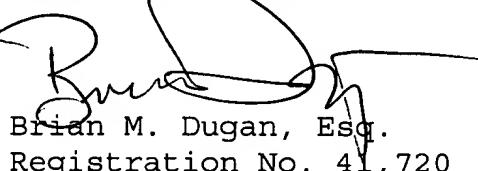


Please charge deposit account No. 04-1696 in the amount of \$180.00 for consideration of this information disclosure statement under 37 C.F.R. § 1.97(c)(2).

These references are also listed on the accompanying Information Disclosure Statement (Form PTO-1449).

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully Submitted,

  
Brian M. Dugan, Esq.  
Registration No. 41,720  
Dugan & Dugan, PC  
Attorneys for Applicants  
(914) 332-9081

Dated: 9/8/06  
Tarrytown, New York

U.S. Department of Commerce, Patent and Trademark Office

Docket No.:

9955/D01/Y01/AGS/LP

Serial No.:

09/970,613



## LIST OF RELEVANT ART CITED BY APPLICANT

(Use several sheets if necessary)

Applicants:

Mark Holst et al.

Filing Date:

October 4, 2001

Group:

1764

## U.S. Patent Documents

| *Examiner Initial |       | Document Number | Issue Date | Name | Class | Subclass | Filing Date If Appropriate |
|-------------------|-------|-----------------|------------|------|-------|----------|----------------------------|
|                   | US-1  |                 |            |      |       |          |                            |
|                   | US-2  |                 |            |      |       |          |                            |
|                   | US-3  |                 |            |      |       |          |                            |
|                   | US-4  |                 |            |      |       |          |                            |
|                   | US-5  |                 |            |      |       |          |                            |
|                   | US-6  |                 |            |      |       |          |                            |
|                   | US-7  |                 |            |      |       |          |                            |
|                   | US-8  |                 |            |      |       |          |                            |
|                   | US-9  |                 |            |      |       |          |                            |
|                   | US-10 |                 |            |      |       |          |                            |
|                   | US-11 |                 |            |      |       |          |                            |

## Foreign Patent Documents

Translation

|  |     | Document Number | Date     | Country | Class | Subclass | Yes | No |
|--|-----|-----------------|----------|---------|-------|----------|-----|----|
|  | F-1 | WO 98/29181 A   | 07/09/98 | WIPO    |       |          | X   |    |
|  | F-2 | EP 0360941 A2   | 04/04/90 | EPO     |       |          | X   |    |
|  | F-3 |                 |          |         |       |          |     |    |
|  | F-4 |                 |          |         |       |          |     |    |
|  | F-5 |                 |          |         |       |          |     |    |

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|      |  |
|------|--|
| OT-1 |  |
| OT-2 |  |
| OT-3 |  |

Examiner \_\_\_\_\_ Date Considered \_\_\_\_\_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.